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Indexing Officer: JBBROADWAY - JASON BROADWAY  
Team: OIPEBackFileIndexing  
Dossier: 09991460

Legal Date: 11-06-2002

No.	Doccode	Number of pages
1	IDS	5
2	NPL	3
3	NPL	2
4	NPL	12
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6	NPL	3
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13	NPL	10
14	NPL	6
15	NPL	2
16	NPL	4
17	NPL	2
18	NPL	14

Total number of pages: 88

Remarks:

Order of re-scan issued on .....



A DOCPHOENIX

## APPL PARTS

IMIS \_\_\_\_\_  
Internal Misc. Paper

LET. \_\_\_\_\_  
Misc. Incoming Letter

371P \_\_\_\_\_  
PCT Papers in a 371 Application

A... \_\_\_\_\_  
Amendment Including Elections

ABST \_\_\_\_\_  
Abstract

ADS \_\_\_\_\_  
Application Data Sheet

AF/D \_\_\_\_\_  
Affidavit or Exhibit Received

APPENDIX \_\_\_\_\_  
Appendix

ARTIFACT \_\_\_\_\_  
Artifact

BIB \_\_\_\_\_  
Bib Data Sheet

CLM \_\_\_\_\_  
Claim

COMPUTER \_\_\_\_\_  
Computer Program Listing

CRFL \_\_\_\_\_  
All CRF Papers for Backfile

DIST \_\_\_\_\_  
Terminal Disclaimer Filed

DRW \_\_\_\_\_  
Drawings

FOR \_\_\_\_\_  
Foreign Reference

FRPR \_\_\_\_\_  
Foreign Priority Papers

11/06/02 IDS 5 \_\_\_\_\_  
IDS Including 1449

NPL \_\_\_\_\_  
Non-Patent Literature

OATH \_\_\_\_\_  
Oath or Declaration

PET. \_\_\_\_\_  
Petition

RETMAIL \_\_\_\_\_  
Mail Returned by USPS

SEQLIST \_\_\_\_\_  
Sequence Listing

SPEC \_\_\_\_\_  
Specification

SPEC NO \_\_\_\_\_  
Specification Not in English

TRNA \_\_\_\_\_  
Transmittal New Application

CTNF \_\_\_\_\_  
Count Non-Final

CTRS \_\_\_\_\_  
Count Restriction

EXIN \_\_\_\_\_  
Examiner Interview

M903 \_\_\_\_\_  
DO/EO Acceptance

M905 \_\_\_\_\_  
DO/EO Missing Requirement

NFDR \_\_\_\_\_  
Formal Drawing Required

NOA \_\_\_\_\_  
Notice of Allowance

PETDEC \_\_\_\_\_  
Petition Decision

## OUTGOING

CTMS \_\_\_\_\_  
Misc. Office Action

1449 \_\_\_\_\_  
Signed 1449

892 \_\_\_\_\_  
892

ABN \_\_\_\_\_  
Abandonment

APDEC \_\_\_\_\_  
Board of Appeals Decision

APEA \_\_\_\_\_  
Examiner Answer

CTAV \_\_\_\_\_  
Count Advisory Action

CTEQ \_\_\_\_\_  
Count Ex parte Quayle

CTFR \_\_\_\_\_  
Count Final Rejection

## INCOMING

AP.B \_\_\_\_\_  
Appeal Brief

C.AD \_\_\_\_\_  
Change of Address

N/AP \_\_\_\_\_  
Notice of Appeal

PA.. \_\_\_\_\_  
Change in Power of Attorney

REM \_\_\_\_\_  
Applicant Remarks in Amendment

XT/ \_\_\_\_\_  
Extension of Time filed separate

BACKFILE DOCUMENT INDEX SHEET

### Internal

SRNT \_\_\_\_\_  
Examiner Search Notes

CLMPTO \_\_\_\_\_  
PTO Prepared Complete Claim Set

ECBOX \_\_\_\_\_  
Evidence Copy Box Identification

WCLM \_\_\_\_\_  
Claim Worksheet

WFEE \_\_\_\_\_  
Fee Worksheet

### File Wrapper

FWCLM \_\_\_\_\_  
File Wrapper Claim

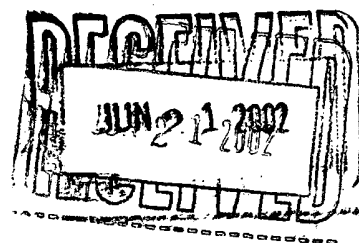
IIFW \_\_\_\_\_  
File Wrapper Issue Information

SFRW \_\_\_\_\_  
File Wrapper Search Info

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Attorney Docket No.: 020882-000110US

Assistant Commissioner for Patents  
Washington, D.C. 20231



On June 4, 2002

TOWNSEND and TOWNSEND and CREW LLP

By Eric M. Jorgensen

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

BATCHKO

Application No.: 09/991,460

Filed: November 16, 2001

For: OPTICAL FREQUENCY  
SYNTHESIZING STRUCTURE

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

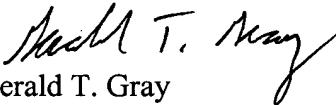
The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

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As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

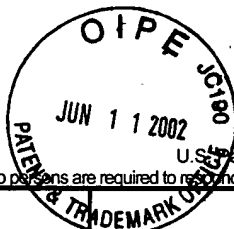
Respectfully submitted,

  
Gerald T. Gray  
Reg. No. 41,797

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GTG:gmz

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

Complete if Known

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Application Number 09/991,460  
Filing Date November 16, 2001  
First Named Inventor BATCHKO, ROBERT G.  
Group Art Unit NYA  
Examiner Name Not Yet Assigned  
Attorney Docket Number 020882-000110US

## U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	5,425,116		Dragone et al.	06/13/1995	
	AB	5,434,700		Yoo	07/18/1995	
	AC	5,459,807		Doumuki et al.	10/17/1995	
	AD	5,461,685		Glance et al.	10/24/1995	
	AE	5,475,780		Mizrahi	12/12/1995	
	AF	5,526,153		Glance	06/11/1996	
	AG	5,546,220		Endo et al.	08/13/1996	
	AH	5,581,642		Deacon et al.	12/03/1996	
	AI	5,586,206		Brinkman et al.	12/17/1996	
	AJ	5,708,734		Van Der Tol	01/13/1998	
	AK	5,748,350		Pan et al.	05/05/1998	
	AL	5,796,902		Bhat et al.	08/18/1998	
	AM	5,825,517		Antoniades et al.	10/20/1998	
	AN	5,946,129		Xu et al.	08/31/1999	
	AO	6,023,360		Morioka et al.	02/08/2000	
	AP	6,028,706		Shirasaki et al.	02/22/2000	
	AQ	6,130,971		Cao	10/10/2000	
	AR	6,141,465		Bischel et al.	10/31/2000	
	AS	6,144,494		Shirasaki et al.	11/07/2000	
	AT	6,154,310		Galvanauskas et al.	11/28/2000	
	AU	6,169,604	B1	Cao	01/02/2001	
	AV	6,169,616	B1	Cao	01/02/2001	
	AW	6,169,630	B1	Shirasaki et al.	01/02/2001	
	AX	6,169,828	B1	Cao	01/02/2001	

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<sup>2</sup> Unique citation designation number. <sup>3</sup> See attached Kinds of U.S. Patent Documents. <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language Translation is attached.

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